



Atty. Dkt. No. 053969-0157

PFJW

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Masanao SAKAI

Title: NETWORK, IPsec SETTING SERVER APPARATUS, IPsec PROCESSING APPARATUS, AND IPsec SETTING METHOD USED THEREFOR

Appl. No.: 10/655,372

Filing Date: 09/05/2003

Examiner: Pan, Joseph T.

Art Unit: 2135

Confirmation Number: 8586

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.56**

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Submitted herewith on Form PTO/SB/08 is a listing of documents known to Applicant in order to comply with Applicant's duty of disclosure pursuant to 37 CFR §1.56.

A copy of each non-U.S. patent document and each non-patent document is being submitted to comply with the provisions of 37 CFR §1.97 and §1.98.

The submission of any document herewith, which is not a statutory bar, is not intended as an admission that such document constitutes prior art against the claims of the present application or that such document is considered material to patentability as defined in 37 CFR §1.56(b). Applicant does not waive any rights to take any action which would be appropriate to antedate or otherwise remove as a competent reference any document which is determined to be a *prima facie* art reference against the claims of the present application.

**TIMING OF THE DISCLOSURE**

The listed documents are being submitted in compliance with 37 CFR §1.97(c), before the mailing date of either a final action under 37 CFR §1.113, a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application.

**RELEVANCE OF EACH DOCUMENT**

The documents listed on the attached PT0/SB/08 were cited as being relevant during the prosecution of the corresponding Japanese application. A partial English translation of the Japanese Office Action of July 3, 2007, follows:

• Claims 1–32

• Publications

1. Japanese Unexamined Patent Application Publication 2001–298449

2. Japanese Unexamined Patent Application Publication 2002–217896

Remarks

(Claims 1, 5, 8, 12, 21 and 25): Cited Example 1

Cited Example 1 states that a security information device (corresponding to the IPsec settings server device of the present application) is connected to a network, and that the security information device manages the recommended SA (corresponding to the policy of the present application) of network connection devices (IPsec processing devices of the present application) (see paragraphs 0098—0123 and Figures 9—13).

Therefore, the inventions relating to the aforementioned claims of the present application could have been easily conceived of by a person skilled in the art based on the description in Cited Example 1.

(Claims 2, 6, 9, 13, 16, 22, 26 and 29): Cited Example 1

In addition to the above, Cited Example 1 also states that a network connection device queries (corresponding to transmitting a request message in the present application) the security information device about the recommended SA of the other party's network connection device, and the queried security information device identifies and returns the recommended SA of the network connection device (see paragraphs 0104–0108).

(Claims 3, 4, 10, 11, 17, 23 and 24): Cited Example 1

In addition to the above, Cited Example 1 states that the security information device, upon receiving a query about the recommended SA of the other party's network connection device, queries (corresponding to transmitting a request initiation message in the present application) the other party's network connection device for SA candidates if there is no IP address registration for the other party's network connection device (see paragraphs 0113–0117). Informing the network connection device which issued the query that there was no response if there is no response to the query is an arrangement which would be normally employed by those skilled in the art (if necessary, see also paragraph 0118).

(Claims 7, 14, 19, 27 and 31): Cited Example 1

In addition to the above, Cited Example 1 also states that the security information device manages and provides key information (see paragraph 0123).

(Claims 15 and 28): Cited Example 1

In addition to the above, Cited Example 1 also states that, upon receiving a packet from a computer, the network connection device decides whether or not to query the security information device about the recommended SA based on whether or not the destination of the packet is registered with the SPD (see paragraphs 0105–0106).

(Claims 18 and 30): Cited Example 1

In addition to the above, Cited Example 1 also states that the network connection device manages the SPD (See paragraph 0105–0106).

(Claims 20 and 32): Cited Examples 1 and 2

Cited Example 2 describes reestablishing the SA before the SA expires (see paragraphs 0028–0029).

Record of Prior Art Literature Search Results

• Fields searched      IPC    H04L 12/66

                                  H04L 12/22

                                  H04L 9/08

Document D1 is a U.S. counterpart of Document D3.

Applicant's statements regarding the Japanese office action are based on a translation that applicant's representative obtained. These statements should in no way be considered as an agreement by applicants, with or an admission of, what is asserted in the Japanese office action.

Applicant respectfully requests that each listed document be considered by the Examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08 be returned in accordance with MPEP §609.

**STATEMENT**

The undersigned hereby states in accordance with 37 CFR §1.97(e)(1) that each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to filing of this Statement.

The undersigned hereby states in accordance with 37 CFR §1.704(d) that each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the information disclosure statement.

Although Applicant believes that no fee is required for this Request, the Commissioner is hereby authorized to charge any additional fees which may be required for this Request to Deposit Account No. 19-0741.

Respectfully submitted,

Date: August 1, 2007

FOLEY & LARDNER LLP  
Customer Number: 22428  
Telephone: (202) 945-6014  
Facsimile: (202) 672-5399

By George C. Beck (Reg. 59597)  
for George C. Beck  
Attorney for Applicant  
Registration No. 38,072

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Substitute for form 1449/PTO				<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> Date Submitted: August 1, 2007 <i>(use as many sheets as necessary)</i>					
Sheet	1	of	1	Attorney Docket Number	053969-0157

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
D1		2001/0042201A1	11-15-2001	YAMAGUCHI et al.	

**UNPUBLISHED U.S. PATENT APPLICATION DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Application Document	Filing Date of Cited Document MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Serial Number-Kind Code <sup>2</sup> (if known)			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
D2		JP 2002-217896A	08-02-2002	MATSUSHITA ELECTRIC IND. CO. LTD.		A
D3		JP 2001-298449A	10-26-2001	MATSUSHITA ELECTRIC IND. CO. LTD.		A

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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